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NASA Procedural Requirements

COMPLIANCE IS MANDATORY**NPR 3435.1C**Effective Date: November 19,
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19, 2019[Printable Format \(PDF\)](#)

Request Notification of Change (NASA Only)

Subject: NASA Performance Management System for the Senior Executive Service**Responsible Office: Office of Human Capital Management**[| TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [Chapter5](#) | [AppendixA](#) | [AppendixB](#) | [ALL](#) |

Chapter 5: Documentation of Performance-Related Records

5.1 Records Retention

5.1.1 In accordance with the responsibility and requirements as determined by the AA, HCM, all performance-related records for a senior executive shall be maintained in an Employee Performance File for no less than five years from the date the final Annual Summary Rating is issued and be available to:

- a. Agency officials having a need for the information.
- b. The senior executive.
- c. The OPM in connection with its personnel management evaluation role.

5.2 Records Provided to Executives

5.2.1 The Rating Official shall provide the senior executive the following documents at the time they are prepared:

- a. The performance plan.
- b. The Initial Summary Rating, including the overall performance assessment narrative for the appraisal period and the performance plan that identifies the performance element ratings upon which the Initial Summary Rating was based.
- c. Written notification of the right to request a higher level review.
- d. Any written comments and/or recommendations for a different rating by a higher level reviewing official.
- e. A copy of the final Annual Summary Rating.

5.3 Required Records

5.3.1 Performance-related records will, at a minimum, include:

- a. The Annual Summary Rating, including the overall performance assessment narrative and any additional required assessments for the appraisal period, and the performance plan on which the assessment is based.
- b. Any written comments and/or recommendations for a different rating by a higher level reviewing official.
- c. The written recommendation for the Annual Summary Rating from the PRB.
- d. When applicable, any Summary Rating from the Rating Official of a position to which the senior executive was detailed, previously assigned, or from which transferred.
- e. Other personnel decisions (e.g., removal from the SES), including supporting documentation, based on performance.

5.4. Transfer of Records

5.4.1 When a senior executive moves to another SES position, either within NASA or with another agency, all appropriate performance-related records five years old or less will be forwarded in the Employee Performance File along with the executive's Official Personnel Folder.

5.4.2 When a NASA career senior executive accepts a Presidential appointment [5 U.S.C. Section 3392(c)], the Employee Performance File will be forwarded to and maintained by the gaining organization throughout the length of the appointment.

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